

Attachment 5 – Policies, Procedures, and Plans

Required with Proposal	Description	Due Date
Proposed Rule Implementation Plan	Plan for complying with new CMS Medicaid managed care rules as described in Section IV.C – Business Requirements.	Required with proposal
Provider Contract Template	Submit provider contract template as described in Section IV.I - Provider Network.	Required with proposal
Network Development Plan	Submit plan for developing an adequate provider network within the timeframe described in Section IV.I - Provider Network.	Required with proposal
Key Staff Resumes	As possible, submit resumes of proposed key staff as described in Section IV.X - Transition and Implementation.	Required with proposal
Preliminary Implementation Plan	Submit preliminary implementation plan as described in Section IV.X - Transition and Implementation.	Required with proposal
Draft Member Handbook	Submit a draft copy of the member handbook as described in Section IV.F – Member Services and Education.	Required with proposal
Contract Award Period	Description	Due Date
Implementation Plan	Submit contract implementation plan as described in Section IV.X - Transition and Implementation.	30 calendar days after contract award
Pharmacy Transition Plan	Submit plan for transitioning from the MLTC FFS program to the MCO pharmacy plan as described in Section IV.X - Transition and Implementation.	30 calendar days after contract award
120 Days Prior to Contract Start Date	Description	Due Date
Member Handbook	Submit member handbook for approval as described in Section IV.J - Provider Services.	120 days prior to contract start date

Attachment 5 – Policies, Procedures, and Plans

Marketing Plan	Submit plan detailing proposed marketing activities and materials as described in Section IV.G - Member Marketing.	120 days prior to contract start date
Welcome Packet Contents	Submit welcome packet materials as described in Section IV.F - Member Services and Education	120 days prior to contract start date
Welcome Call Script	Submit script for member welcome calls as described in Section IV.F - Member Services and Education.	120 days prior to contract start date
Member Education Plan	Submit member education plan as described in Section IV.F - Member Services and Education.	120 days prior to contract start date
Enrollment Broker	Submit policies and procedures for receiving file submissions from the Enrollment Broker as described in Section IV.B - Eligibility and Enrollment.	120 days prior to contract start date
Quality Administrative Expenses Proposal	Submit proposal for MLTC review and approval for quality activities to be considered as part of the 3% admin cap.	120 days prior to contract start date
90 Days Prior to Contract Start Date	Description	Due Date
Proposed Rule Implementation Plan	Plan that details the processes and timeline the MCO will implement to ensure compliance with all applicable requirements in the proposed rule on the contract's start date. This plan must take into consideration requirements CMS is placing on states that require MCO cooperation/compliance.	90 days prior to the contract start date or 60 days after the Proposed Rule is finalized (whichever is earlier).
Provider Network List	Submit list of all network providers via the provider enrollment file as described in Section IV.I - Provider Network.	90 days prior to contract start date
Provider Network Sufficiency Attestation	Submit data and analysis attesting to the sufficiency of the MCOs network as described in Section IV.I - Provider Network.	90 days prior to contract start date
Subcontracts	Submit all subcontracts for the provision of any services for prior review and approval as described in Section IV.K - Subcontracting.	90 days prior to contract start date

Attachment 5 – Policies, Procedures, and Plans

MCO Provider Website	As detailed in Section IV.J - Provider Services, the MCO's provider website is considered marketing material and must be submitted for review and approval.	90 days prior to contract start date
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Attachment 5 – Policies, Procedures, and Plans

Provider Training Handbook and Training Schedule	Submit a copy of the provider training handbook and training schedule as described in Section IV.J - Provider Services	90 days prior to contract start date
Provider Handbook	Submit provider handbook for approval as described in Section IV.J - Provider Services	90 days prior to contract start date
Pharmacy Claims	Submit policies and procedures for pharmacy claims as described in Section IV.S - Claims Management	90 days prior to contract start date
Pharmacy Pricing Rules and Algorithms	Submit pricing rules and algorithms for pharmacy claims as Section IV.S - Claims Management.	90 days prior to contract start date
MAC Pricing	Submit policies and procedures for MAC pricing as described in Section IV.S - Claims Management.	90 days prior to contract start date
Care Management Program	Submit program description, policies and procedures for Care Management as described in Section IV.L - Care Management.	90 days prior to contract start date
Continuity of Care	Submit policies and procedures for continuity of care as described in Section IV.L - Care Management.	90 days prior to contract start date
HCBS Coordination	Submit policies and procedures for coordinating with HCBS case managers as described in Section IV.L - Case Management.	90 days prior to contract start date
Pharmacy Coverage Policies and Procedures	Submit pharmacy coverage policies and procedures as described in Section IV.E - Covered Services and Benefits.	90 days prior to contract start date
Extemporaneously Compound Drugs	Submit policies for extemporaneously compound drugs as described in Section IV.E - Covered Services and Benefits.	90 days prior to contract start date
Formulary	Submit formulary for review as described in Section IV.E - Covered Services and Benefits.	90 days prior to contract start date

Attachment 5 – Policies, Procedures, and Plans

OTC Drug List	Submit list of covered OTC drugs as described in Section IV.E - Covered Services and Benefits.	90 days prior to contract start date
60 Days Prior to Contract Start Date	Description	Due Date
QAPI Committee Description	Submit a description and detail the composition of the QAPI Committee (QAPIC) as described in Section IV.M - Quality Management.	60 days prior to contract start date
QM Program Description and Goals	Submit overview of QM program as described in Section IV.M - Quality Management	60 days prior to contract start date
Remedial Action Policy and Procedures	Submit procedures for remedial action to address deficiencies as described in Section IV.M - Quality Management.	60 days prior to contract start date
Corrective Action Triggers	Submit description of deficiencies that require corrective action as described in Section IV.M - Quality Management.	60 days prior to contract start date
Corrective Action Monitoring	Submit policies and procedures for evaluating corrective actions.	60 days prior to contract start date
Provider Review	Submit procedures for provider review.	60 days prior to contract start date
SHCN Care Quality Assessment	Submit procedures for assessing the quality and appropriateness of care furnished to members with SHCNs.	60 days prior to contract start date
Clinical Advisory Committee	Submit plan for the development of the Clinical Advisory Committee as described in Section IV.M - Quality Management.	60 days prior to contract start date
Member Advisory Committee	Submit plan for the development of the Member Advisory Committee including meetings schedule and objectives s described in Section IV.M - Quality Management.	60 days prior to contract start date

Attachment 5 – Policies, Procedures, and Plans

Tribal Members Coordination	Submit policies and procedures for coordination and collaboration with qualified members as described in Section IV.L - Care Management.	60 days prior to contract start date
Coordination with Division of Family Services	Submit policies and procedures for coordinating with the DHHS Division of Children and Family Services as described in Section IV.L - Care Management.	60 days prior to contract start date
Health Risk Assessment Algorithms and Methodologies	Submit proposed methodology and algorithms for health risk assessment as described in Section IV.L - Care Management.	60 days prior to contract start date
PBM Independence Assurance	Submit procedures and assurances regarding PBM independence as described in Section IV.L - Care Management.	60 days prior to contract start date
PBM Oversight Plan	Submit plan for monitoring PBM performance as described in Section IV.S - Claims Management.	60 days prior to contract start date
Claims Dispute Process	Submit policies and procedures for addressing claims disputes as described in Section IV.S - Claims Management.	60 days prior to contract start date
Physician Incentive Plan Contract Templates	Submit contract templates for Physician Incentive Plan participants as described in Section IV.Q - Provider Reimbursement.	60 days prior to contract start date
Service Authorization	Submit policies and procedures for service authorization as described in Section IV.N - Utilization Management.	60 days prior to contract start date
Retrospective UR Functions	Submit policies for retrospective UR functions as described in Section IV.N - Utilization Management.	60 days prior to contract start date
Utilization Management Program Description	Submit UM program description as described in Section IV.N - Utilization Management.	60 days prior to contract start date

Attachment 5 – Policies, Procedures, and Plans

Drug Utilization Review Program Guidelines	Submit guidelines for DUR program as described in Section IV.N - Utilization Management.	60 days prior to contract start date
Clinical Criteria for Drug Prior Authorization	Submit criteria for drug prior authorization as described in Section IV.N - Utilization Management.	60 days prior to contract start date
Grievances and Appeals	Submit policies and procedures for the handling of member/provider grievances and appeals as described in Section IV.H - Grievances and Appeals.	60 days prior to contract start date
45 Days Prior to Contract Start Date	Description	Due Date
Amount, Duration, and Scope Policies	Submit amount, duration and scope policies as described in Section IV.E - Covered Services and Benefits.	45 days prior to contract start date
Lab Services Authorization Policies	Submit policies for lab services authorization as described in Section IV.E - Covered Services and Benefits.	45 days prior to contract start date
Value-Added Services	Provide a description of the expanded services/benefits the MCO will provided as described in Section IV.E - Covered Services and Benefits	45 days prior to contract start date
Provider Complaint System	Submit policies and procedures detailing the MCO's provider complaint system as described in Section IV.J - Provider Services.	45 days prior to contract start date
Provider Directory Template	Submit templates for the provider directory as described in Section IV.E - Members Services and Education.	45 days prior to contract start date
Human Resources and Staffing Plan	Submit a plan detailing how the MCO will obtain and maintain appropriate staffing levels as described in Section IV.D - Staffing.	45 days prior to contract start date

Attachment 5 – Policies, Procedures, and Plans

Key Staff List	Submit the names, resumes and contact info for all key staff as described in Section IV.D - Staffing	45 days prior to contract start date
Credentialing/Recredentialing	Submit policies and procedures for credentialing and recredentialing providers as described in Section IV.I - Provider Network.	45 days prior to contract start date
Provisional Credentialing for Behavioral Health	Submit policies and procedures for the provisional credentialing of behavioral health providers.	45 days prior to contract start date
Network - Communication of Change	Submit procedures for communicating contractual and/or program changes to providers.	45 days prior to contract start date
Network Compliance	Submit procedures for ensuring provider compliance with State and MCO policies as described in Section IV.I - Provider Network.	45 days prior to contract start date
Network Service	Submit procedures for evaluating the quality of services provided by the network.	45 days prior to contract start date
Network Insufficiency	Submit policies and procedures for arranging for medically necessary services in the event of temporary network insufficiency as described in Section IV.I - Provider Network.	45 days prior to contract start date
Network Monitoring	Submit procedures for monitoring the adequacy, accessibility and availability of network providers as described in Section IV.I - Provider Network.	45 days prior to contract start date
Specialty Drug List	Submit list of specialty drugs as described in Section IV.I - Provider Network.	45 days prior to contract start date
Compliance Plan	Submit fraud, waste, abuse and erroneous payments compliance plan as described in Section IV.O - Program Integrity.	45 days prior to contract start date

Attachment 5 – Policies, Procedures, and Plans

Fraud, Waste, Abuse and Erroneous Payments	Submit fraud, waste, abuse and erroneous payments policies as described in Section IV.O - Program Integrity.	45 days prior to contract start date
Advance Directives	Submit policies and procedures for Advance Directives as described in Section IV.F - Member Services and Education	45 days prior to contract start date
Timely Access	Submit policies and procedures for the monitoring of timely access requirements as described in Attachment 2 - Access Standards.	45 days prior to contract start date
Selection and Retention of Providers	Submit policies for the selection and retention of providers as described in Section IV.I - Provider Network.	45 days prior to contract start date
Member Privacy	Submit policies and procedures for protecting member privacy	45 days prior to contract start date
PCP Assignment	Submit policies and procedures for PCP assignment as described in Section IV.B - Eligibility and Enrollment.	45 days prior to contract start date
Second Opinions	Submit policies and procedures regarding ensuring member access to a second opinion.	45 days prior to contract start date
Restricted Services	Submit policies and procedures for restricted services as described in Section IV.N - Utilization Management	45 days prior to contract start date
30 Days Prior to Contract Start Date	Description	Due Date
Subcontractor Evaluation	Submit copies of subcontractor evaluations as described in Section IV.C - Business Requirements.	30 days prior to contract start date
Third Party Liability	Submit procedures for identifying TPL and administering payment as described in Section IV.P - MCO Reimbursement.	30 days prior to contract start date

Attachment 5 – Policies, Procedures, and Plans

Provider Preventable Conditions	Submit procedures for precluding payment to providers for provider preventable conditions as required in Section IV.P - Provider Reimbursement.	30 days prior to contract start date
Clinical Practice Guidelines	Submit clinical practice guidelines developed in accordance with requirements in Section IV.N - Utilization Management.	30 days prior to contract start date
Emergency Medical and Post-Stabilization Services.	Submit policies and procedures for emergency medical and post-stabilization services as described in Section IV.E - Covered Services and Benefits.	30 days prior to contract start date
Family Planning Services	Submit policies and procedures for family planning services as described in Section IV.E - Covered Services and Benefits.	30 days prior to contract start date
Indian Health Protections	Submit policies and procedures for Indian health protections as described in Section IV.F - Members Services and Education.	30 days prior to contract start date
Direct Access to Women's Health Specialists	Submit policies and procedures for guaranteeing female members direct access to women's health specialists as described in Section IV.I - Provider Network.	30 days prior to contract start date
EPSDT Services	Submit policies and procedures for EPSDT services as described in Section IV.E - Covered Services and Benefits.	30 days prior to contract start date
Staffing	Submit policies and procedures for staffing as described in Section IV.D - Staffing.	30 days prior to contract start date
Maintenance of Medical Records	Submit policies and procedures for the maintenance of medical records as described in Section IV.E - Member Services and Education.	30 days prior to contract start date

Attachment 5 – Policies, Procedures, and Plans

Medical Record Confidentiality	Submit policies and procedures regarding maintaining the confidentiality of member medical records.	30 days prior to contract start date
Transportation	Submit policies for transportation as described in Section IV.E - Covered Services and Benefits.	30 days prior to contract start date
Dual Eligibles	Submit policies and procedures for addressing needs of dual eligible members.	30 days prior to contract start date
Member Calls	Submit policies and procedures for managing member calls as described in Section IV.F - Member Services and Education.	30 days prior to contract start date
Referrals	Submit policies and procedures on referrals for specialty care and other benefits not provided by the member's PCP.	30 days prior to contract start date
Brand Name Products	Submit policies and procedures for brand name products as described in Section IV.Q - Provider Reimbursement.	30 days prior to contract start date
After Contract Start Date	Description	Due Date
PCMH Implementation Plan	Submit plan for PCMH implementation as described in Section IV.I - Provider Network.	90 days after contract start date
Value-Based Contracting Plan	Submit plan for implementing value-based purchasing agreements as described in Section IV.Q - Provider Reimbursement.	Due by December 17, 2017